

**SOLICITATION FOR FINANCIAL
ASSISTANCE APPLICATIONS
NO. DE-PS26-03NT41463**



2003 CLIMATE CHANGE FUEL CELL BUY-DOWN PROGRAM

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Information regarding this solicitation is available on the
Department of Energy, Industry Interactive Procurement System (IIPS)
web site at: <http://e-center.doe.gov>

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SECTION I - TECHNICAL REQUIREMENTS

1.1 SUMMARY (JAN 2003)

The Department of Energy (DOE), National Energy Technology Laboratory (NETL) is seeking applications for the 2003 Climate Change Fuel Cell Buy-Down Program. In the Defense Appropriations Conference Report Fiscal Year 2002, Congress agreed to provide funding to the Department of Defense (DoD) for the continuation of the Climate Change Fuel Cell Program. The responsibility for procurement, program management, and administration for these funds has been delegated to the Department of Energy, National Energy Technology Laboratory (NETL). The objective of the cost-shared "2003 Climate Change Fuel Cell Program" is to simultaneously stimulate commercialization of stationary fuel cell power plants to reduce greenhouse gas emissions through the efficient use of fossil fuels. Fixed obligation grants will be awarded consistent with the amounts defined in the funding availability section of this document.

1.2 SOLICITATION OBJECTIVES (MAR 2001)

1.2.1. General Approach

Successful applicants will demonstrate, through their applications, a commitment to purchase, install, operate, and maintain fuel cell power plant(s) with a combined capacity rated between 3 and 3,000 kW. No power plants purchased before June 28, 2001 are eligible for this grant program. All fuel cell technology will be eligible and there are no restrictions on fuel type. Fuel types may include: natural gas, coal gasifier gas, coal bed methane gas, landfill gas, bio gas, etc. The Federal share will not exceed the lower of \$1,000/kW or one-third of the total project costs which includes unit cost, installation, and one year of operation. This project will culminate with a summary report after one year of power plant operation.

In the event that a successful applicant awarded a grant under this solicitation is ultimately unable to comply with the grant condition of acquiring a fuel cell, the grant will be terminated and funding obligated to that grant will be deobligated. The government reserves the right to use the deobligated funds to select additional applications from those submitted under this solicitation.

1.2.1.1. Statement of Grant Objectives

The applicant shall form the project team necessary to demonstrate a fuel cell technology. The applicant shall perform the necessary activities to prepare the site, install, and operate the stationary fuel cell power plant for a minimum of one year.

The applicant shall comply with all regulatory requirements and provide DOE such information necessary for DOE to discharge its obligations under the National Environmental Policy Act.

1.2.1.2. Site Location Change and/or Change in Technology

Site location or fuel cell technology may be changed upon written approval of the Contracting Officer. Approval is at the discretion of the Government.

1.2.2. Conditions

- Manufacturers or developers of the fuel cell technology are prohibited from submitting an application
- The power plant must be substantially manufactured in the United States (i.e., at least 50 percent of the value of the components must be produced in the United States)
- The fuel cell stack must be manufactured in the United States.

1.2.3. Reimbursement

There will be two dispersal points for distribution of federal funds.

1.2.3.1 The first payment of 70 percent will be dispersed after the grantee has furnished a signed factory (or site) acceptance test form (8 hours at 95 % of system rated power).

1.2.3.2 The second payment of 30 percent will be dispersed after the grantee has furnished an acceptable final report covering a year of operation of the fuel cell unit. The final report shall cover the demonstration period for the fuel cell and the heat recovery equipment. The operational period shall be a minimum interval of twelve (12) contiguous calendar months. During this time, the grantee shall use their “best effort” to maximize the amount of time the system is on line. System down time for maintenance or other reasonable technical issues is acceptable. However, for example, operation of a unit for three (3) months with a planned down time of nine (9) months is not acceptable.

SECTION II - CONDITIONS AND NOTICES

2.1 APPLICANT ELIGIBILITY (MAY 2001)

Except for manufacturers or developers of the fuel cell technology, any nonprofit or for-profit organization, university or other institution of higher education, or non-federal agency or entity is eligible to apply, unless otherwise restricted by the Simpson-Craig Amendment which is defined as follows:

Organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, shall not be eligible for the receipt of Federal Funds constituting an award, grant, or loan. Section 501(c)(4) of the Internal Revenue Code of 1986 covers:

“Civic leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, or local associations of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which are devoted exclusively to charitable, educational or recreational purposes.”

Lobbying activities are defined broadly to include, among other things, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with regard to Federal legislative, regulatory and program administrative matters.

Applicants that are seeking financial assistance under this solicitation are subject to the eligibility requirements of Section 2306 of the Energy Policy Act of 1992 (EPAct).

In accordance with 10 CFR 600.502, a company shall be eligible to receive an award of financial assistance under a covered program only if DOE finds that--

- (a) Consistent with Sec. 600.503, the company's participation in a covered program would be in the economic interest of the United States; and
- (b) The company is either--
 - (1) A United States-owned company; or
 - (2) Incorporated or organized under the laws of any State and has a parent company which is incorporated or organized under the laws of a country which--
 - (i) Affords to the United States-owned companies opportunities, comparable to those afforded to any other company, to participate in any joint venture similar to those authorized under the Act;
 - (ii) Affords to United States-owned companies local investment opportunities comparable to those afforded to any other company; and
 - (iii) Affords adequate and effective protection for the intellectual property rights of United States-owned companies.

2.2 NUMBER AND TYPE OF AWARDS (JAN 2000)

It is anticipated that there will be between 10 and 14 awards resulting from this solicitation. However, the Government reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this solicitation and will award that number of financial assistance instruments which serves the public purpose and is in the best interest of the Government. The Government intends to use fixed obligation grants as the type of award instrument(s).

2.3 AVAILABILITY OF FUNDS (AUG 1999)

The amount of money available for awards is approximately \$2,800,000.00. The Federal share will not exceed the lower of \$1,000/kW or one-third of the total project costs which includes unit cost, installation, and one year of operation.

2.4 PROJECT PERIOD (AUG 2000))

Awards are projected to be made in August/September 2003, with all project work including one year of operation and final report due by September 15, 2006. Projects with near-term operation will receive priority as stipulated in Section IV of this solicitation.

2.5 REPORTING REQUIREMENTS (FEB 2001)

The Reporting Requirements identified in the model financial assistance agreement located at <http://www.netl.doe.gov/business/faapiaf/MODEL.PDF> are required to be submitted during performance of the award.

In addition to the standard reports identified in the model, the following reports will be incorporated in the resultant award:

Topical Report – Project Schedule Report - Semi-Annual – Provide planned completion dates for key milestones for the installation and operation of the fuel cell power plant (FCPP) using the table provided with a brief discussion of any abnormalities or deviations that may have occurred.

Final Report - The Final Report shall document and summarize all work performed during the award period in a comprehensive manner. It shall also present findings and/or conclusions produced as a consequence of this work. This report shall not merely be a compilation of information contained in subsequent quarterly, or other technical reports, but shall present that information in an integrated fashion, and shall be augmented with findings and conclusions drawn from the research as a whole.

At a minimum, the final report shall contain at least the sections listed below. The submission format shall be in a hard copy and the information submitted on a compact disk (CD).

Title Page (containing the following information):

Report Title, Type of Report (i.e., "Final Report")

Reporting Period (period of operation)

Principal Author(s)

Date (month & year) Report Completed

DOE Award Number (i.e., "DE-PS26-03NTxxxxx") where x is the last five digits from the contract number

Name of Submitting Organization/Company

Disclaimer (must follow the title page and contain the following paragraph):

This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacture, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof.

Abstract

Table of Contents

Executive Summary (paragraph)

Introduction (paragraph)

Results and Discussion (must discuss the following items):

Mean Time Between Failure (MTBF)

Cost Parameters (all costs shall be in US dollars equivalent)

Total Fuel Cell Plant Capacity (kW)

Total Fuel Cell Plant Cost (\$)
 Fixed Operating Cost
 Variable Operating Costs (mills/kWh)
 Heat Rate (Btu/KWh)
 Local Area Electricity Price (cents/kWh)
 Capacity Factor (% of Nameplate Rating)
 Fuel Price (\$/M Btu)
 Thermal Output (Btu/year), if byproduct used
 Certify that the activity has been completed
 Table showing site parameters before installation
 Total electrical usage for entire site by month (kWh)
 Peak electrical use for entire site by (kW)
 Total site usage of fuel by month (MMBtu)
 Peak site usage of fuel by month (MMBtu/day)
 Table showing site parameters during year of operation
 Table showing site parameters before installation
 Fuel cell system total use (kWh)
 Fuel cell system peak use (kW)
 8" x 10" Glossy Picture (or electronic picture file (i.e., bmp, tif, pic)) of the fuel cell system.
 Conclusions

2.6 APPLICATION DUE DATE (JAN 2003)

Applications and amendments of applications must be received by June 1, 2003, not later than 8:00 PM EST. You are encouraged to transmit your application well before the deadline.

APPLICATIONS, OR APPLICATION FILES, THAT HAVE AN IIPS DATE/TIME STAMP LATER THAN THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

2.7 ANTICIPATED SELECTION AND AWARD DATES (AUG 1999)

It is anticipated that selections for award will be made in July 2003. Awards are expected to be made within 60 calendar days following the selection.

2.8 CONTENT OF RESULTING AWARD (NOV 2000)

A Model Fixed Obligation Grant will be posted to the solicitation file on the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov> by March 15, 2002. Any agreement awarded as a result of this solicitation will contain the applicable terms and conditions found in the model grant.

Blank areas appearing in the model agreement indicated by "[]" will be completed after negotiations.

2.9 APPLICATION PREPARATION COSTS (DEC 1999)

This solicitation does not obligate the Government to pay any costs incurred in the preparation and submission of applications or in making necessary studies or designs for the preparation thereof or to acquire, or contract for any services.

2.10 COMMITMENT OF PUBLIC FUNDS (AUG 1999)

The Contracting Officer is the only individual who can legally commit the Government to the expenditure of public funds in connection with the proposed award. Any other commitment, either explicit or implied, is invalid.

2.11 FALSE STATEMENTS (AUG 1999)

Applications must set forth full, accurate, and complete information as required by this solicitation. The penalty for

making false statements in applications is prescribed in 18 U.S.C. 1001.

2.12 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER (CFDA) (DEC 2000)

CFDA No. 81.089 - The Applicant should put this CFDA number in Block 10 of the Standard Form 424, Application for Federal Assistance.

2.13 DETERMINATION OF RESPONSIBILITY (JAN 2001)

DOE will evaluate the potential Recipient's responsibility before award. Responsibility determinations are focused on the Recipient's capability to manage and account for the funds, property and other assets provided and to perform satisfactorily under the terms of the award. If a potential Recipient is determined to not be in compliance or cannot or will not comply with generally applicable requirements (see 10 CFR Part 600, Appendix A), the contracting officer will find the Recipient not responsible and may either disapprove the application or use special restrictive conditions as a term of award.

2.14 EVALUATION PERSONNEL (JAN 2003)

Applications will be evaluated in accordance with the criteria set forth in Section IV of the solicitation. In conducting this evaluation, the Government may utilize assistance and advice from qualified personnel from other Federal Agencies.

When using personnel from other Federal agencies, DOE will obtain assurances from all evaluators that DOE's commitments are met relating to the proprietary nature of any application information.

2.15 APPLICATION CLARIFICATION (JULY 1999)

DOE reserves the right to require applications to be clarified or supplemented to the extent considered necessary either through additional written submissions or oral presentations.

2.16 APPLICATION ACCEPTANCE PERIOD (AUG 1999)

The minimum application acceptance period shall be 180 calendar days after the deadline(s) for receipt of applications.

2.17 AWARD WITHOUT DISCUSSIONS (AUG 2000)

Notice is given that award may be made after few or no exchanges, discussions or negotiations. Therefore, all applicants are advised to submit their most favorable application to the Government. The Government reserves the right, without qualification, to reject any or all applications received in response to this solicitation and to select any application, in whole or in part, as a basis for negotiation and or award.

2.18 PRESUBMISSION REVIEW AND CLEARANCES (AUG 1999)

Presubmission review under Executive Order 12372, "Intergovernmental Review of Federal Programs" is not required.

2.19 52.227-6 ROYALTY INFORMATION. (APR 1984)

(a) *Cost or charges for royalties.* When the response to this solicitation contains costs or charges for royalties totaling more than \$250, the following information shall be included in the response relating to each separate item of royalty or license fee:

(1) Name and address of licensor.

(2) Date of license agreement.

- (3) Patent numbers, patent application serial numbers, or other basis on which the royalty is payable.
 - (4) Brief description, including any part or model numbers of each contract item or component on which the royalty is payable.
 - (5) Percentage or dollar rate of royalty per unit.
 - (6) Unit price of contract item.
 - (7) Number of units.
 - (8) Total dollar amount of royalties.
- (b) *Copies of current licenses.* In addition, if specifically requested by the Contracting Officer before execution of the contract, the offeror shall furnish a copy of the current license agreement and an identification of applicable claims of specific patents.

2.20 LOCATE SOLICITATION, JOIN MAILING LIST, SUBMIT QUESTIONS, VIEW AMENDMENTS OR QUESTIONS AND ANSWERS (JAN 2003)

If you would like to receive notifications related to this specific solicitation, submit questions on the content of the solicitation, or view amendments or questions and answers, you should locate this solicitation, and then follow the appropriate directions:

LOCATE SOLICITATION

- Go to the IIPS website at <http://e-center.doe.gov> and click on “Browse Opportunities”, or log in if you are registered.
- Click on any of the options for viewing the solicitation (whichever is easiest for you to locate this solicitation).
- Click on “Enter IIPS”.
- Locate and click on the solicitation number to view “Synopsis and Solicitation Information”.
- Click on hyperlink under “File Attachments” or “URL Links” to access the full solicitation or program notice.

JOIN SOLICITATION MAILING LIST.

Click on the “Join Solicitation Mailing List” button at the top of the page, enter the required information, and submit. After you have joined the list, you should receive an email when a solicitation message is posted. Even though you have joined the mailing list, you should visit the solicitation page periodically to ensure that you have the latest information.

VIEW AMENDMENTS.

Click on the yellow folder next to the solicitation number to view amendments and solicitation messages; or follow directions for “Locate Solicitation” to view a conformed copy of the solicitation (a line in the margin annotates changed sections).

SUBMIT QUESTION ON THE CONTENT OF THE SOLICITATION.

Click on the “Submit Question” button at the top and enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 5 days, unless a similar question and answer have already been posted on the website.

VIEW QUESTIONS AND ANSWERS.

Click on the “View Questions” button at the top of the page. If no questions have been submitted and answered, a statement to that effect will appear at the top of the page. You should periodically check the IIPS website for new questions and answers.

2.21 PROPERTY DISPOSITION (JAN 2003)

After completion of the project, the property rules applicable to grants provide that title to the property acquired by the Recipient utilizing project funds conditionally vests with the Recipient. However, the Department of Energy (DOE) may divest the Recipient of title in cases where the Government anticipates a subsequent need for the property.

At the completion of the project, the Recipient may request and the Government may authorize the Recipient to continue to use the fuel cell unit for its intended purpose, but the Government retains its equitable interest in the equipment. In such case, the Recipient would remain responsible for accounting for the fuel cell unit to the Government. For a period of up to three years after the completion of the project, if DOE does not exercise its right to transfer title to the fuel cell unit to the Federal Government or a third party, the Recipient may sell the fuel cell unit, but the Recipient must compensate DOE based on DOE’s cost share percentage for the project applied against the fair market value of the fuel cell unit. Three years after completion of the Government’s project, title to the fuel cell unit will vest with the Recipient and DOE’s rights will terminate.

SECTION III - APPLICATION PREPARATION AND SUBMISSION REQUIREMENTS

3.1 APPLICATION PREPARATION INSTRUCTIONS (JAN 2003)

To aid in evaluation, applications shall be clearly and concisely written. All pages shall be appropriately numbered and identified with the name of the applicant, the date, and the solicitation number to the extent practicable. Application files are to be formatted in Microsoft Word.

For consistency, the applicant is instructed to use the file names specified below. Filename extensions shall clearly indicate the software application used for preparation of the documents (i.e., "xxx.doc" for Word files).

FILE NO.	MANDATORY FILES	FILENAME
1.	Application/Pre-Application	424.doc
2.	Certifications and Assurances	540_1-4.doc
3.	Project Summary Sheet	540_1-2.doc
4.	Narrative (Technical) (DO NOT SUBMIT)	Not Applicable (N/A)
5.	Budget (DO NOT SUBMIT)	N/A
6.	Budget Narrative (DO NOT SUBMIT)	N/A
Attachment 1	Fuel Cell Form	FUEL_CELL.doc
Attachment 2	Non-Contingent Contract	CONTRACT.doc
Attachment 3	Commitment Letters	COM_LTRS.doc
Attachment 4	Additional Information	ADD_INFO.doc

APPLICATION FORMS (File Nos. 1-3)

The application form (SF 424), Certifications and Assurances (NETL F540.1-4), and Project Summary Sheet (NETL F540.1-2) are available on the NETL homepage at:

<http://www.netl.doe.gov/business/faapiaf/main.html>.

Instructions for completion of the forms are contained on the back of each form. Questions on completion of the forms should be addressed to the Contract Specialist. You must complete the required information, type the name of the individual authorized to sign the form in the signature block, and save the file with the designated name for that form.

FUEL CELL FORM (Attachment 1)

The three-part Fuel Cell Form is an attachment to the solicitation. Questions on completion of this form should be addressed to the contract specialist. You must complete the required information and save the file with the designated name for this form. This form consists of the following parts:

1. Part 1 - Site Description/Installation Information
2. Part 2 - Cost and Financing Table
3. Part 3 - Project Schedule

Since the information contained in this section will be evaluated to determine such matters as the firmness of the applicant's proposed funding sources for the project and intention to use thermal and electrical energy, it should be specific and complete in every detail.

NON-CONTINGENT CONTRACT BETWEEN GRANTEE AND FUEL CELL SUPPLIER (Attachment 2)

The applicant must furnish a signed non-contingent contract for a fuel cell power plant system with the application. The applicant's fuel cell power plant system vendor must offer commercial warranties for one calendar year of operation as part of the signed contract. If a signed contract is not submitted with the application, or if the signed contract contains any contingencies (other than receipt of a grant from the DOE), the application may be considered non-responsive and may not be evaluated further.

COMMITMENT LETTERS (Attachment 3)

Provide copies of signed financial commitment letters from each funding source excluding DOD/DOE funds as a result of the solicitation.

ADDITIONAL INFORMATION (Attachment 4)

Provide the following additional information. If the information is not available in MS Word format, the applicant is authorized to submit a PDF file. If the information is not available in electronic format, contact the Contract Specialist for hard copy submission instructions.

1. Attach any additional installation supporting material (e.g., site map, conceptual design, load analysis, etc.), as applicable.
2. One-page fuel cell product specification/information sheet.
3. Firmness of the site selection (letter of intent from end user and installation site authority).

3.2 SUBMISSION REQUIREMENTS (JAN 2003)

ELECTRONIC SUBMISSION

Applications must be submitted through the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov> in accordance with the instructions in this solicitation. **ONLY APPLICATIONS SUBMITTED THROUGH IIPS WILL BE CONSIDERED FOR AWARD.**

ELECTRONIC SIGNATURE

Applications submitted through IIPS constitute submission of electronically signed applications. The name of the authorized organizational representative (i.e., the administrative official, who, on behalf of the proposing organization, is authorized to make certifications and assurances or to commit the applicant to the conduct of a project) must be typed in the signature block on the form to be accepted as an electronic signature. A scanned copy of the signed document is not required.

IIPS REGISTRATION

In order to submit an application, you must be authorized by the applicant (i.e., institution or business entity) to submit an application on its behalf and you must register in IIPS. You are encouraged to register as soon as possible. You only have to register once to apply for any DOE award. To register:

- Go to the IIPS website at <http://e-center.doe.gov>.
- Click on the "Register" button on the left.
- Click on the box that says, "Check this box for Acquisitions greater than Simplified Acquisitions threshold or financial assistance" and then click on the radio button next to the "Register only" option.

- Click on “Proceed to Form.”
- Read the “Security Alert” and click on “Yes” to proceed.
- Read the “Notice of Disclaimer” and click on “I Accept.”
- Complete the Registration Form.
- Click on “Submit Registration.” You will receive an acknowledgement confirming receipt of your registration.

Then you will receive an email confirming successful registration. If you do not receive an email confirmation within one business day, contact the IIPS Help Desk at 1-800-683-0751 and select option 1, or send an email to HelpDesk@e-center.doe.gov.

Note the user name on your confirmation and your password for future reference. You must use this user name and password for any applications submitted in IIPS.

SUBMIT APPLICATION OR PRE-APPLICATION (IF A PRE-APPLICATION IS REQUIRED)

You are strongly encouraged to submit your application or pre-application at least 24 hours before the deadline in order to have time to resolve any transmission problems. If you are registered in IIPS, you may use the IIPS test site at <http://doe-iips.pr.doe.gov/iips/busopor.nsf/TestSolicitation?OpenView&login> to practice submitting an application. You can also access the test site from the link provided at the top of each solicitation page. To submit an application, complete the following steps:

STEP 1 -- PREPARE APPLICATION

Prepare all of the files in accordance with the instructions in this solicitation prior to starting the transmission process. You should submit the entire application package in one IIPS session (i.e., do not logoff before all the files are attached).

STEP 2 - LOCATE SOLICITATION AND CREATE APPLICATION

- Enter the IIPS website at <http://e-center.doe.gov>.
- Click on “Login” button on the left.
- Click on the radio button that says, “Industry Interactive Procurement System.”
- Enter your user name (as shown on your registration email confirmation) and password.
(Note: These are case sensitive.)
- The “View Synopses and Solicitations as Sorted by....” screen will appear. Click on one of the choices and locate the solicitation.
- Click on the solicitation number and the Synopsis & Solicitation Information screen will appear.
- Click on “Create Application” (you may have to scroll to the right to locate the button) and complete the information on the Application Cover Page. Enter the project title and the principal investigator/project director, if any, in the “Subject” blank.

STEP 3 --- ATTACH FILES AND SUBMIT APPLICATION

- Click on “Submit Cover Page & Attach Files”, complete information, and submit.
- Click on “Attach Application” link.
- Attach each file in the corresponding block on the page and then click “Submit.”
- IIPS will provide an acknowledgement.
- Click on the link on the acknowledgement to verify submission. It will take you to your submission.
- In order to verify successful transmission at a later date, click on the yellow folder beside the solicitation number. Your application should appear.

QUESTIONS OR PROBLEMS WITH TRANSMISSION

View the “IIPS Frequently Asked Questions” by clicking on the “Help” button. You may also call 1-800-683-0751 and select option 1, or send an email to IIPS_HelpDesk@e-center.doe.gov, for help with the IIPS system. If you

have questions on the content of the solicitation, follow the directions for “Submit Question on the Content of the Solicitation.”

IIPS USER GUIDE

Additional instructions are available in the IIPS User Guide. Click on the “help” button to access the guide.

3.3 REVISIONS, DELETIONS, AND WITHDRAWAL OF APPLICATIONS (JAN 2003)

REMOVE APPLICATION OR APPLICATION FILE(S) FROM IIPS

To delete or withdraw an application or an application file(s), send an email to the IIPS Help Desk requesting the application or file(s), be removed. Be sure to identify your user name, the applicant's name, and the subject, as shown on the cover page of the application.

SUBMIT REVISED APPLICATION

Follow the steps in “Submit Application or Pre-application” to submit a revised application (i.e. cover page and all required files).

SUBMIT REVISED FILE

After the Help Desk has removed the requested file from your application:

- Locate the solicitation.
- Click on the yellow folder next to the solicitation number.
- Click on the cover page of your submission, click on the “Attach Application” link, and attach the revised file. In the event that two files, with identical names, are included in an application, the file with the latest transmission date/time stamp will be considered for review, if it is received prior to the deadline.

3.4 UNNECESSARILY ELABORATE APPLICATIONS AND FILE SIZE LIMITATIONS (JAN 2003)

Unnecessarily elaborate applications beyond those sufficient to present a complete and effective response to this solicitation are not desired. Elaborate art work, graphics and pictures may increase the document’s file size. It is suggested that in preparing your application that you create files less than 5 MB. However, this file size may not be appropriate in all situations. As the nature of the application may create large files, offerors may wish to use “Zip” file compression software such as WinZip. Using this compression software will diminish the file size, thus reducing the time needed to upload and download an application.

3.5 TREATMENT OF PROPRIETARY INFORMATION (AUG 1999)

An application may include technical data and other data, including trade secrets and/or privileged or confidential commercial or financial information, which the applicant does not want disclosed to the public or used by the Government for any purpose other than application evaluation. To protect such data, the applicant should specifically identify each page including each line or paragraph thereof containing the data to be protected and mark the cover sheet of the application with the following Notice as well as referring to the Notice on each page to which the Notice applies:

NOTICE OF RESTRICTION ON DISCLOSURE AND USE OF DATA

The data contained in pages [] of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data therein to the extent provided in the award. This

restriction does not limit the Government's right to use or disclose data obtained without restriction from any source, including the applicant.

DOE shall not refuse to consider an application solely on the basis that the application is restrictively marked.

SECTION IV - EVALUATION AND SELECTION

4.1 INTRODUCTION (MAY 2000)

This section contains the evaluation approach as well as the individual criteria to be used in the evaluation of applications.

4.2 GENERAL (JULY 1999)

It is the policy of DOE that any financial assistance be awarded through a merit-based selection process which means a thorough, consistent and independent examination of applications based on pre-established criteria by persons knowledgeable in the field of the proposed project.

4.3 PRELIMINARY REVIEW (JAN 2003)

Prior to a comprehensive evaluation, applications will undergo an initial review to determine whether the information required by the solicitation has been submitted and is properly completed. Applications will be reviewed for relevance to the 2003 Climate Change Fuel Cell Buy-Down Program and for responsiveness to the requirements of the solicitation. Solicitations that require cost-sharing will be reviewed to insure that this requirement has been met. Applications will be reviewed to assess the Applicant's eligibility under the lobbying, EPCA and Simpson-Craig Amendment requirements. Failure to successfully meet any one of these preliminary review criteria may result in the elimination of the application and no further consideration in the Comprehensive Evaluation. In the event that an application is eliminated, a notice will be sent to the Applicant stating the reason(s) that the application will not be considered for financial assistance under this solicitation.

4.4 COMPREHENSIVE EVALUATION (AUG 1999)

Applications passing the preliminary evaluation shall be subject to a comprehensive evaluation in accordance with the technical evaluation criteria listed in this section.

The technical evaluation is conducted to determine the merits of the technical application with regard to the potential success of the project as well as future commercial applications. Comprehensive evaluation results in a numerical score for each application against each of the technical evaluation criteria.

The Environmental Evaluation, which is not point scored, is conducted to determine the completeness of the Environmental Questionnaire, and to assess the applicant's awareness of Environmental requirements for mitigating project related Environmental risks and impacts.

4.5 TECHNICAL EVALUATION CRITERIA (AUG 1999)

Applications will be evaluated in accordance with the criteria set forth in this section. In conducting this evaluation, the Government may utilize assistance and advice from qualified personnel from other Federal agencies.

The Project Application evaluation will be conducted using numerical ratings to determine the relative merits of an application in accordance with the project evaluation criteria. Each application will be rated by the individual TEC members. The committee will discuss each rating for each criterion for each application. Strengths and weaknesses will be identified.

Applications submitted in response to this solicitation will be evaluated and scored in accordance with the criteria listed below:

Criterion 1. Firmness of Financial Commitment

Firmness of the applicant's proposed funding sources for the project will be evaluated utilizing information

provided by the applicant on the NETL F540.1-2 – Project Summary Sheet; Fuel Cell Form, Part 2 – Cost and Financing Table; Non-Contingent Contract; and Commitment Letters as delineated in Section III of this solicitation.

Criterion 2. Energy Efficiency, Environmental Issues and Schedule

Extent to which applicant intends to use electrical and/or thermal energy in descending order of preference with higher rated efficiencies receiving superior scores; soundness of environmental issues as demonstrated by the NEPA compliance documentation showing a lack of issues or correcting existing environmental problems (i.e., Ozone Non-Compliance); construction, installation and operational issues and arrangements. Projects with near-term operation will be given higher preference for award. The evaluation of this criterion will be accomplished utilizing information provided by the applicant on the NETL F540.1-4 – Certifications and Assurances; Fuel Cell Form, Part 3 – Project Schedule; and Additional Information (i.e., one page Fuel Cell Specification/Information Sheet.)

Criterion 3. Site Information and DoD Relationship

Order of precedence for siting is DoD installation, DoD-related installation (Coast Guard, Post Offices, VA Hospitals, etc.), educational/university/other government institution or a commercial institution that primarily supports DoD's mission, a non-DoD installation in the United States, and a non-DoD installation in a foreign country. The evaluation of this criterion will be accomplished utilizing information provided by the applicant on the Form Fuel Cell Form, Part 1 – Site Description/Installation Information; and the Additional Information (i.e., Letter(s) of Intent from End Users and Installation Site Authority.)

Criterion 4. Project Merit

The overall quality, soundness, and reasonableness of the applicant's proposed project including the purpose of the proposed project and its goals and objectives and the relationship of the proposed project to the DOD & DOE goals and objectives of this solicitation will be evaluated. Extent to which the applicant intends to utilize unique or emerging technologies, novel fuels, novel electrical/thermal interfaces, or any other factors which contribute to the uniqueness of the project. The evaluation of this criterion will be accomplished utilizing information provided by the applicant on the Fuel Cell Form, Part 1 – Site Description/Installation Information.

4.7 RELATIVE ORDER OF IMPORTANCE OF EVALUATION CRITERIA (JAN 2003)

The evaluation of the application will be conducted using preestablished weights to determine the relative merits of the application in accordance with the evaluation criteria. The application represents 100% of the total evaluation scoring. Although the Certifications and Assurances will not be point scored they will be considered in the selection decision and must be addressed.

The following weighting factors will be applied to each evaluation criteria to obtain a final evaluation rating for each application.

The project criteria and weighting factors are as follows:

- | | |
|--|-------------------------------|
| (1) Firmness of Financial Commitment | Weighting Factor of 15 |
| (2) Energy Efficiency, Environmental Issues and Schedule | Weighting Factor of 15 |
| (3) Site Information and DoD Relationship | Weighting Factor of 40 |
| (4) Project Merit | Weighting Factor of 30 |

4.8 APPLICATION OF PROGRAM POLICY FACTORS (NOV 2000)

These factors, while not indicators of the Application's merit, e.g. technical excellence, cost, applicant's ability, etc.,

may be essential to the process of selecting the application(s) that, individually or collectively, will best achieve the program objectives. Such factors are often beyond the control of the Applicant. Applicants should recognize that some very good applications may not receive an award because they do not fit within a mix of projects which maximizes the probability of achieving the DoD's and DOE's overall project objectives. Therefore, the following Program Policy Factor may be used by the Source Selection Authority (SSA) to assist in determining which of the ranked application(s) shall receive DOE funding support.

- It is desirable to select for award a group of projects representing diverse sizes, applications, fuels, locations and type of operation (i.e., grid connected or grid independent)

The above factor will be independently considered by the SSA in determining the optimum mix of applications that will be selected for support. This policy factor will provide the SSA with the capability of developing, from the competitive solicitation, a broad involvement of organizations and organizational ideas, which both enhance the overall technology research effort and upgrade the program content to meet the goals of the DoD and DOE.

4.9 BASIS FOR SELECTION AND AWARD (MAY 2000)

The Department of Energy anticipates the award of one or more financial assistance instruments to those applicants whose applications are determined to be in the best interest of the Department in achieving the program objectives set forth in this solicitation. Selection of an application by the Department will be achieved through a process of evaluating and comparing the relative merits of the applicant's complete applications, in accordance with all of the evaluation factors set forth in this section.

This process reflects the Department's desire to accept an application based on its potential in best achieving program objectives, rather than solely on evaluated technical merit or cost. Accordingly, the Department of Energy may select for an award all, none, or any number or part, of an application, based on its decision as to which meritorious applications best achieve the program objectives set forth in this solicitation.

It is important for applicants to note that selection for negotiations will be made entirely on the basis of applications submitted. Applications should, therefore, address specifically the factors mentioned in the evaluation criteria, and not depend upon reviewers' background knowledge.